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PTO/SB/17 (01-03)

Approved for use through 04/30/2003. OMB 0651-0032
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

FEE TRANSMITTAL for FY 2003

Effective 01/01/2003. Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$) 1,116.00

Complete if Known

Application Number	10/781,404
Filing Date	February 18, 2004
First Named Inventor	Porter C. Shannon et al.
Examiner Name	Lu, C Caixia
Art Unit	1713
Attorney Docket No.	2003U038.US

METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☐ Other ☐ None

☒ Deposit Account:

Deposit
Account
Number
Deposit
Account
Name

50-0589

Univation Technologies

The Commissioner is authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☒ Credit any overpayments

☐ Charge any additional fee(s) during the pendency of this application

☐ Charge fee(s) indicated below, except for the filing fee to the above-identified deposit account.

FEE CALCULATION

1. BASIC FILING FEE

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1001 750	2001 375	Utility filing fee	770.00
1002 330	2002 165	Design filing fee	
1003 520	2003 260	Plant filing fee	
1004 750	2004 375	Reissue filing fee	
1005 160	2005 80	Provisional filing fee	

SUBTOTAL (1) (\$) 770.00

2. EXTRA CLAIM FEES FOR UTILITY AND REISSUE

Total Claims	Extra Claims	Fee from below	Fee Paid
20** =	38	18	684
Independent Claims	3** =	84	252
Multiple Dependent		280	0

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description
1202 18	2202 9	Claims in excess of 20
1201 84	2201 42	Independent claims in excess of 3
1203 280	2203 140	Multiple dependent claim, if not paid
1204 84	2204 42	** Reissue independent claims over original patent
1205 18	2205 9	** Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$) 936.00

**or number previously paid, if greater; For Reissues, see above

FEE CALCULATION (continued)

3. ADDITIONAL FEES

Large Entity Fee Code (\$)	Small Entity Fee Code (\$)	Fee Description	Fee Paid
1051 130	2051 65	Surcharge - late filing fee or oath	
1052 50	2052 25	Surcharge - late provisional filing fee or cover sheet	
1053 130	1053 130	Non-English specification	
1812 2,520	1812 2,520	For filing a request for ex parte reexamination	
1804 920*	1804 920*	Requesting publication of SIR prior to Examiner action	
1805 1,840*	1805 1,840*	Requesting publication of SIR after Examiner action	
1251 110	2251 55	Extension for reply within first month	
1252 410	2252 205	Extension for reply within second month	
1253 930	2253 465	Extension for reply within third month	
1254 1,450	2254 725	Extension for reply within fourth month	
1255 1,970	2255 985	Extension for reply within fifth month	
1401 320	2401 160	Notice of Appeal	
1402 320	2402 160	Filing a brief in support of an appeal	
1403 280	2403 140	Request for oral hearing	
1451 1,510	1451 1,510	Petition to institute a public use proceeding	
1452 110	2452 55	Petition to revive - unavoidable	
1453 1,300	2453 650	Petition to revive - unintentional	
1501 1,300	2501 650	Utility issue fee (or reissue)	
1502 470	2502 235	Design issue fee	
1503 630	2503 315	Plant issue fee	
1460 130	1460 130	Petitions to the Commissioner	
1807 50	1807 50	Processing fee under 37 CFR 1.17(q)	
1806 180	1806 180	Submission of Information Disclosure Stmt	180.00
8021 40	8021 40	Recording each patent assignment per property (times number of properties)	
1809 750	2809 375	Filing a submission after final rejection (37 CFR 1.129(a))	
1810 750	2810 375	For each additional invention to be examined (37 CFR 1.129(b))	
1801 750	2801 375	Request for Continued Examination (RCE)	
1802 900	1802 900	Request for expedited examination of a design application	

Other fee (specify)

*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$) 180.00

SUBMITTED BY

Name (Print/Type) Kevin M. Faulkner

Registration No. 45,427
(Attorney/Agent)

(Complete if applicable)

Telephone 713-892-3729

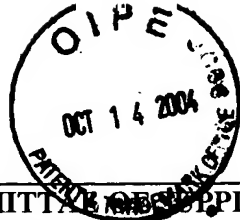
Signature

Date 10.11.04

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

This collection of information is required by 37 CFR 1.17 and 1.27. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, Washington, DC 20231.

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TRANSMITTAL OF SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT UNDER 37 CFR § 1.97(b), 1.97(c), or 1.97(d)			Attny. Docket No. 2003U038.US
In Re Application of: Porter Shannon, et al.			
U.S. Serial No. 10/781,404	Filing Date 02/18/2004	Examiner Unassigned	Group Art Unit 1713

Address to:
**Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450**

37 CFR § 1.97(b)

- ☐ The Information Disclosure Statement submitted herewith is being filed within three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); within three months of the date of entry of the national stage as set forth in § 1.491 in an international application; before the mailing of a first Office Action on the merits; or before the mailing of a first Office Action after the filing of a request for continued examination under § 1.114.

37 CFR § 1.97(c)

- ☒ The Information Disclosure Statement submitted herewith is being filed after three months of the filing date of a national application other than a continued prosecution application under § 1.53(d); after three months of the date of entry of the national stage as set forth in § 1.491 in an international application; after the mailing of a first Office Action on the merits; or after the mailing of a first Office Action after the filing of a request for continued examination under § 1.114, but before the mailing date of:

1. a Final Action under § 1.113,
2. a Notice of Allowance under § 1.311, or
3. an action that otherwise closes prosecution in the application,

and is accompanied by either:

- ☒ the fee as set forth in § 1.17(p), or
☐ the following statement under § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

37 CFR § 1.97(d)

- ☐ The Information Disclosure Statement submitted herewith is being filed after a Final Action under § 1.113, a Notice of Allowance under § 1.311, or an action that otherwise closes prosecution in the application, but before, or simultaneously with, the payment of the issue fee. Submitted herewith is the fee as set forth in § 1.17(p) and the following statement under 37 CFR § 1.97(e)(1): each item of information contained in the information disclosure statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the information disclosure statement.

Applicant hereby request consideration of the Information Disclosure Statement, USPTO form 1449, submitted herewith.

☒ Legible copies of the references are enclosed.

☐ This application is a:

- ☐ Continuation / Divisional,
- ☐ Continuation-in-Part,

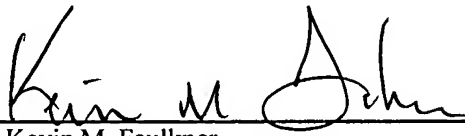
of U.S.S.N. _____.

Copies of the cited U.S. patent references are ☐ enclosed; ☒ not enclosed.

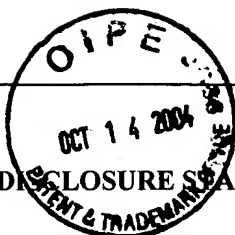
Copies of the cited non-U.S. patent references are ☒ enclosed; ☐ not enclosed. References are available in the parent application(s) if not enclosed.

The Commissioner is hereby authorized to charge any additional fees which may be required by this paper, or credit any overpayment, to Deposit Account Number 50-0589.

10.11.04
Date



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INFORMATION DISCLOSURE STATEMENT

(Use several sheets if necessary)

ATTY. DOCKET NO.

2003U038.US

SERIAL NO.

10/781,404

APPLICANT

Porter Shannon, et al.

FILING DATE

02/18/2004

GROUP

1713

U.S. PATENT DOCUMENTS

*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						

FOREIGN PATENT DOCUMENTS

		DOCUMENT NUMBER	PUBL. DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION	
							YES	NO
	AG							
	AH							

OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)

AI	Bruce A. Davis, et al., "Grooved Feed Single Screw Extruders - Improving Productivity and Reducing Viscous Heating Effects", POLYMER ENGINEERING AND SCIENCE, Vol. 38, No. 7, 1199-1204 (July 1998).
AJ	Y. Guo, et al., "Dependence of Melt Temperature on Screw Speed and Size in Extrusion," SPE ANTEC, 132-136 (1988).
AK	R. Rasid, et al., "Effect of process variables on melt temperature profiles in extrusion process using single screw plastics extruder," PLASTICS, RUBBER AND COMPOSITES, Vol. 32, No. 5, 187-192 (2003).
AL	Gramann et al., "Experimental Study of a New Dispersive Mixer," SPE ANTEC, (1999).
AM	BP Solvay Polyethylene "Fortiflex® HDPE Sheet Extrusion Guide," BP SOLVAY POLYETHYLENE NORTH AMERICA, 1-18(2002).
AN	Chris Rauwendall, et al., TROUBLESHOOTING THE EXTRUSION PROCESS, 68-69, 96-99 (2001).
AO	Chapman & Hal., POLYMER TECHNOLOGY DICTIONARY, 244 and 533 (1994).

EXAMINER

DATE CONSIDERED

*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next comment to applicant

INFORMATION DISCLOSURE STATEMENT <i>(Use several sheets if necessary)</i>				ATTY. DOCKET NO.		SERIAL NO.	
				2003U038.US		10/781,404	
				APPLICANT			
				Porter C. Shannon et al.			
				FILING DATE		GROUP	
02/18/2004		Unassigned					
U.S. PATENT DOCUMENTS							
*EXAMINER INITIAL		DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE
	AA						
	AB						
	AC						
	AD						
	AE						
	AF						
	AG						
	AH						
	AI						
	AJ						
FOREIGN PATENT DOCUMENTS							
		DOCUMENT NUMBER	PUBL DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION
							YES NO
	AK						
	AL						
OTHER DISCLOSURES (Including Author, Title, Date, Pertinent Pages of Publication, Etc.)							
	AM	Peter Fischer, Johannes Wortberg, <i>Single-Screw Extruders and Barrier Screws</i> , Extended Version of a paper presented at the VDI conference on " <i>The Single Screw Extruder - Basics and System Optimization</i> ", published by VDI-Verlag Düsseldorf, 1997 "Kunststofftechnik"					
	AN						
EXAMINER				DATE CONSIDERED			
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next comment to applicant							